



PATENT

I hereby certify that on the date specified below, this correspondence is being deposited with the United States Postal Service as first-class mail in an envelope addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

January 15, 2004  
Date

T. Miller  
Tamra Miller

RECEIVED  
JAN 27 2004  
TC 1700

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Appl. No. :	09/916,164	Confirmation No. :	9145
Applicants :	Gundu M. Sabde and Whonchee Lee		
Filed :	July 25, 2001	Attorney Docket No.:	500163.05
Art Unit :	1763	Customer No. :	27,076
Examiner :	Sylvia R. MacArthur		
Title :	METHODS AND APPARATUSES FOR PLANARIZING MICROELECTRONIC SUBSTRATE ASSEMBLIES		

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

01/23/2004 WASFAW1 00000035 09916164  
Sir:

01 FC:1806 180.00 OP

In accordance with 37 C.F.R. §§ 1.56 and 1.97 through 1.98, applicants wish to make known to the Patent and Trademark Office the references set forth on the attached form PTO-1449 (copies of the cited references, as required under 37 C.F.R. § 1.98, are enclosed). Although the aforesaid references are made known to the Patent and Trademark Office in compliance with applicants' duty to disclose all information they are aware of which is believed relevant to the examination of the above-identified application, applicants believe that their invention is patentable.

A fee of \$180 is submitted in accordance with 37 C.F.R. § 1.97(c). The Commissioner is authorized to charge any other fees which may be required, or credit any overpayment to Deposit Account No. 50-1266. A duplicate copy of this sheet is enclosed.

Please acknowledge receipt of this Information Disclosure Statement and kindly make the cited references of record in the above-identified application.

Respectfully submitted,

DORSEY & WHITNEY LLP



Steven H. Arterberry  
Registration No. 46,314

SHA:tlm

Enclosures:

- Postcard
- Check
- Fee Transmittal (+ copy)
- Copy of Information Disclosure Statement
- Form PTO-1449
- Cited References (8)

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FORM PTO-1449  
(REV. 7-80)U.S. DEPARTMENT OF COMMERCE  
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.  
500163.05APPLICATION NO.  
09/916,164

## INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

APPLICANT(S)

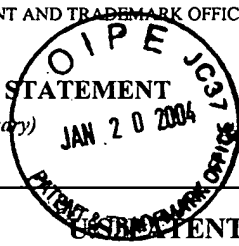
Gundu M. Sabde and Whonchee Lee

FILING DATE

July 25, 2001

GROUP ART UNIT

1763



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## PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA	5,620,946	04/15/97	Jahnke et al.	507	131	
	AB	5,958,794	09/28/99	Bruxvoort et al.	438	692	
	AC	5,972,792	10/26/99	Hudson	438	691	
	AD	6,200,896 B1	03/13/01	Sethuraman et al.	438	691	
	AE	6,302,766 B1	10/16/01	Sethuraman et al.	451	41	
	AF	6,572,453 B1	06/03/03	Wijekoon et al.	451	56	
	AG						
	AH						
	AI						
	AJ						

## FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	AK	WO 97/11484	03/27/97	PCT	H01L	21/3105		
	AL	JP 10034514	02/10/98	Japan (English Abstract)	B24B	21/00	X	
	AM							
	AN							
	AO							

## OTHER PRIOR ART (Including Author, Title, Date, Pertinent Pages, Etc.)

	AP	
	AQ	
	AR	

EXAMINER

DATE CONSIDERED

\* EXAMINER: Initial if reference considered, whether or not criteria is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant(s).

# **FEE TRANSMITTAL SHEET (FOR FY 2004)**

JAN 20 2004

**Complete if Known**

Application No. 09/916,164  
Filing Date July 25, 2001  
First Named Inventor Gundu M. Sabde  
Group Art Unit 1763  
Examiner Sylvia R. MacArthur  
Atty. Docket Number 500163.05

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## **METHOD OF PAYMENT (Check One)**

1. ☒ The Commissioner is hereby authorized to charge any additional fee required under 37 C.F.R. §§ 1.16 and 1.17 and 1.136(a)(3) and credit any over payments to Deposit Account No.: 50-1266; Deposit Account Name: DORSEY & WHITNEY LLP

2. ☒ Check Enclosed

## **FEE CALCULATION**

### **1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1001	770	2001	385	<input type="checkbox"/> Utility Filing Fee
1002	340	2002	170	<input type="checkbox"/> Design Filing Fee
1003	530	2003	265	<input type="checkbox"/> Plant Filing Fee
1004	770	2004	385	<input type="checkbox"/> Reissue Filing Fee
1005	160	2005	80	<input type="checkbox"/> Provisional Filing Fee

**Subtotal (1) \$ 0**

### **2. EXTRA CLAIM FEES**

Current Claims	Prior	Extra	Fee	Fee Paid
Total	-	20	= 0 x \$	= \$ 0
Ind.	-	3	= 0 x \$	= \$ 0
Multiple Dependent Claims			x \$	= \$
<b>Subtotal (2)</b>				<b>\$ 0</b>

Large Entity		Small Entity		Fee Description
Fee Code	Fee (\$)	Fee Code	Fee (\$)	
1202	18	2202	9	Claims in excess of 20
1201	86	2201	43	Independent claims in excess of 3
1203	290	2203	145	Multiple dependent Claim
1204	86	2204	43	Reissue independent claims over original patent
1205	18	2205	9	Reissue claims in excess of 20 and over original patent

### **3. ADDITIONAL FEES**

Large Entity		Small Entity		Fee Description	Fee paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - Late filing fee or oath	\$
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	\$
1053	130	1053	130	Non-English specification	\$
1812	2,520	1812	2,520	For Filing a Request for <i>ex parte</i> Reexamination	\$
1804	920	1804	920	Requesting publication of SIR prior to Examiner action	\$
1805	1,840	1805	1,840	Requesting publication of SIR after Examiner action	\$
1251	110	2251	55	Extension for reply within first month	\$
1252	420	2252	210	Extension for reply within 2 <sup>nd</sup> month	\$
1253	950	2253	475	Extension for reply within 3 <sup>rd</sup> month	\$
1254	1,480	2254	740	Extension for reply within 4 <sup>th</sup> month	\$
1255	2,010	2255	1,005	Extension for reply within 5 <sup>th</sup> month	\$
1401	330	2401	165	Notice of Appeal	\$
1402	330	2402	165	Filing a brief in support of an appeal	\$
1403	290	2403	145	Request for oral hearing	\$
1814	110	2814	55	Terminal Disclaimer Fee	\$
1452	110	2452	55	Petition to revive - unavoidable	\$
1453	1,330	2453	665	Petition to revive - unintentional	\$
1501	1,330	2501	665	Utility/Reissue issue fee	\$
1502	480	2502	240	Design issue fee	\$
1503	640	2503	320	Plant issue fee	\$
1460	130	1460	130	Petitions to the Commissioner	\$
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	\$
1806	180	1806	180	Submission of IDS	\$ 180
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	\$
1801	770	2801	385	Request for Continued Examination (RCE)	\$

Other fee (specify)

**Subtotal (3) \$ 180**

**Total Amount of Payment: \$ 180**

Submitted by:

Name: Steven H. Arterberry

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Signature: *Steven Arterberry*

Date: 1/14/04